

09-27-01

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PTO/SB/05 (11-00)

Please type a plus sign (+) inside this box



Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. A01020B
 First Inventor Subba Reddy Palli et al.
 Title Novel Ecdysone Receptor-Based Inducible Gene...
 Express Mail Label No. EF385423031US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
 (Submit an original and a duplicate for fee processing)
 2. ☐ Applicant claims small entity status.
 See 37 CFR 1.27.
 3. ☒ Specification [Total Pages 94]
 (preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table,
 or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure

4. ☐ Drawing(s) (35 U. S. C. 113) [Total Sheets 8]

5. Oath or Declaration [Total Pages]

- a. ☐ Newly executed (original or copy)
 b. ☐ Copy from a prior application (37 CFR 1.63 (d))
 (for continuation/divisional with Box 18 completed)
 i. ☐ **DELETION OF INVENTOR(S)**
 Signed statement attached deleting inventor(s)
 named in the prior application, see 37 CFR
 1.63(d)(2) and 1.33(b).

6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Assistant Commissioner for Patents
 Box Patent Application
 Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or
 Computer Program (Appendix)
 8. Nucleotide and/or Amino Acid Sequence Submission
 (if applicable, all necessary)
 a. ☒ Computer Readable Form (CRF)
 b. Specification Sequence Listing on:
 i. ☐ CD-ROM or CD-R (2 copies); or
 ii. ☒ paper
 c. ☒ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
 10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney
 (when there is an assignee)
 11. ☐ English Translation Document (if applicable)
 12. ☐ Information Disclosure Statement (IDS)/PTO-1449
☐ Copies of IDS Citations
 13. ☐ Preliminary Amendment
 14. ☒ Return Receipt Postcard (MPEP 503)
 (Should be specifically itemized)
 15. ☐ Certified Copy of Priority Document(s)
 (if foreign priority is claimed)
 16. ☐ Request and Certification under 35 U.S.C. 122
 (b)(2)(B)(i). Applicant must attach form PTO/SB/35
 or its equivalent.
 17. ☒ Other: Unassigned Draft PUA & CRF Paper Copy Sequence Listing (84 pages)
 Seq. Cert. (1 page)

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part(CIP)

of prior application No.: PCT/US01,09050

Prior application information:

Examiner

Group Art Unit

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19 CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

(Insert Customer Number or Bar code label here)

or

☐ Correspondence address below

Name

21898

Address

PATENT TRADEMARK OFFICE

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Rachel H. Rondinelli, Ph.D.

Registration No. (Attorney/Agent)

45,052

Signature

Rachel H. Rondinelli

Date

September 26, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

09/26/01

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 1878

Complete if Known

Application Number	
Filing Date	Herewith
First Named Inventor	Subba Reddy Palli et al.
Examiner Name	Not yet assigned
Group Art Unit	Not yet assigned
Attorney Docket No.	A01020B

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **18-1850**
Deposit Account Name **Rohm and Haas Company**

- ☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	710
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL(1) (\$) 710

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
36	-20** = 16	X 18 =	288
14	-3** = 11	X 80 =	880
Multiple Dependent		270 =	0

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	**Reissue independent claims over original patent
110 18	210 9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 1168

**or number previously paid, if greater, For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) _____

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0

SUBMITTED BY

Name (Print/Type)	Rachel H. Rondinelli, Ph.D.	Registration No. (Attorney/Agent)	45,052	Complete (if applicable)	
Signature	<i>Rachel H. Rondinelli</i>	Telephone	215-619-5837	Date	September 26, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Docket Number: A01020B
RHR:bk

In re application of:
Subba Reddy Palli et al.

Serial No: not yet assigned : Group Art Unit: not yet assigned

Filed: Herewith : Examiner: not yet assigned

For: **NOVEL ECDYSONE RECEPTOR-BASED INDUCIBLE GENE EXPRESSION SYSTEM**

BOX: Patent Application
Assistant Commissioner of Patents
Washington, DC 20231

SUBMISSION OF "SEQUENCE LISTING"

CERTIFICATE OF EXPRESS MAILING

Sir:

I hereby certify that the following correspondence is being deposited with the U.S. Postal Service as express mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 on the date indicated next to my signature below. Submitted herewith is a copy of each "Sequence Listing" submitted for this application in computer readable form, in accordance with the requirements of 37 C.F.R. §§ 1.821(e) and 1.824.

Utility Patent Application Transmittal Letter
Fee Sheet (in duplicate)

Non-Provisional Application with Drawings (19 figures, 8 pages)
Hard copy Sequence Listing (84 Pages) & CRF Diskette of Sequence Listing
CRF Certification (1 page)
"Unsigned Declaration/Power of Attorney"
Return Receipt Postcard

September 26, 2001
Date

Becky Knauth
Signature

U.S. Postal Service Express Mail Label No. EF385423031US

09965703-099604

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

US Non-Provisional Application: Filed Concurrently Herewith
Filing Date: September 26, 2001
Inventors: Subba Reddy Palli et al.
Attorney Docket Number: A01020B

Title: Novel Ecdysone Receptor-Based Inducible Gene Expression System

To: Assistant Commissioner of Patents
Washington, D.C. 20231

Certification Under 37 CFR 1.10

EF385423031 US
"Express Mail" mailing number

September 26, 2001
Date of Deposit

I hereby certify that this paper and any accompanying papers is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Becky Knauth
(Typed or printed name of person mailing paper)

Becky Knauth
(Signature of person mailing paper)

Dear Sir,

Please find enclosed a written sequence listing (paper copy) of the PatentIn 3.1 Sequence Listing filed together with the above-referenced application and a computer readable form (CRF) of this written sequence listing. I certify that the information recorded on the form is identical to the written sequence listing.

Respectfully submitted,

ROHM AND HAAS COMPANY
Patent Department
100 Independence Mall West
Philadelphia, PA 19106-2399

Rachel H. Rondinelli

Rachel H. Rondinelli, Ph.D.
Agent for Applicants
Registration No. 45,052

Dated: September 26, 2001

09965703-092601